Results Framework

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Global Partnership for Social Accountability (GPSA)

Results Framework[1]

Introduction

On June 12, 2012, the World Bank's Board of Directors approved the Global Partnership for Social Accountability (GPSA). The GPSA supports public sector, civil society and private sector to work together to solve critical governance challenges in developing countries. To achieve this objective, the GPSA provides strategic and sustained support to CSOs' social accountability initiatives aimed at strengthening transparency and accountability. It builds on the World Bank's direct and ongoing engagement with public sector actors, as well as a network of Global Partner organizations, to create an enabling environment in which citizen feedback is used to solve fundamental problems in service delivery and to strengthen the performance public institutions.

Through a country-tailored approach, GPSA-supported activities are implemented in sectors where the World Bank has strong involvement and can help governments respond to citizen feedback. The GPSA works to "close the loop" by supporting citizens to have a more articulated voice, helping governments to listen, and assisting government agencies to act upon the feedback they receive. Ultimately, this helps countries improve development results and reach the goals of ending extreme poverty and fostering shared prosperity.

The GPSA is governed by a Steering Committee (SC) comprised of CSO, government and donor agency representatives. The SC is chaired by the WB's Governance Global Practice's Senior Director.[2] The Partnership's scope encompasses two main areas:[3]

Grants for Social Accountability	The GPSA awards grants to CSOs and networks of CSOs working in countries that have "opted-in" to the Program. Grants are intended to provide strategic and sustained support to CSOs with the following objectives: - Addressing critical governance and development problems through social accountability processes that involve citizen feedback and participatory methodologies geared to helping governments and public sector institutions solve these problems. Special emphasis is put on problems that directly affect extreme poor and marginalized populations. - Strengthening civil society's capacities for social accountability by investing in CSOs' institutional strengthening and through mentoring of small, nascent CSOs by well-established CSOs with a track record on social accountability.

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[1] Please cite the work as follows: Tsai, Lily and Maria F. Guerzovich. 2015. "Global Partnership for Social Accountability Results Framework". Global Partnership for Social Accountability. Washington, DC.

[2] See GPSA Operational Manual for further information about the GPSA's governance structure: www.worldbank.org/gpsa.

[3] Ibid.

Knowledge Platform	Offers a global space for facilitating the advancement of knowledge and learning on social accountability by (1) leveraging the K&L generated through the GPSA-supported grants, and (2) deepening and expanding networks of social accountability practitioners from CSOs, governments and donor agencies to foster constructive engagement for solving governance and development challenges.

The GPSA's funding is channeled through a Multi-donor Trust Fund, to which the World Bank will contribute US$5 million annually from FY13 through FY16, which brings the Bank's total commitment to US$20 million. Government bilateral agencies and private foundations may also contribute to the MDTF.[4]

The GPSA Secretariat, supported by the SC, has undertaken a consultation process to develop a Results Framework (RF), as well as a monitoring and evaluation (M&E) system for the Program. This process has included a series of face-to-face and virtual exchanges to receive feedback and refine the overall RF and M&E system. Both Bank staff and external stakeholders, including donors, practitioners and evaluation specialists were convened for this process.

This document presents the GPSA's theory of change and results framework. The theory of change provides a description of how the GPSA expects its financial and knowledge support to contribute to realistic, measurable outcomes. It identifies the assumptions underlying this vision as well as the outputs and key contextual factors expected to mediate the effects of the GPSA's inputs on outcomes within particular countries.

The GPSA's Results Framework is a tool that will be used to monitor and manage progress and report on delivery. It sets out the indicators and methods that will be used to collect data and measure results that will support learning and adaptation of the GPSA's interventions, as well as inform their evaluations at different stages of implementation.
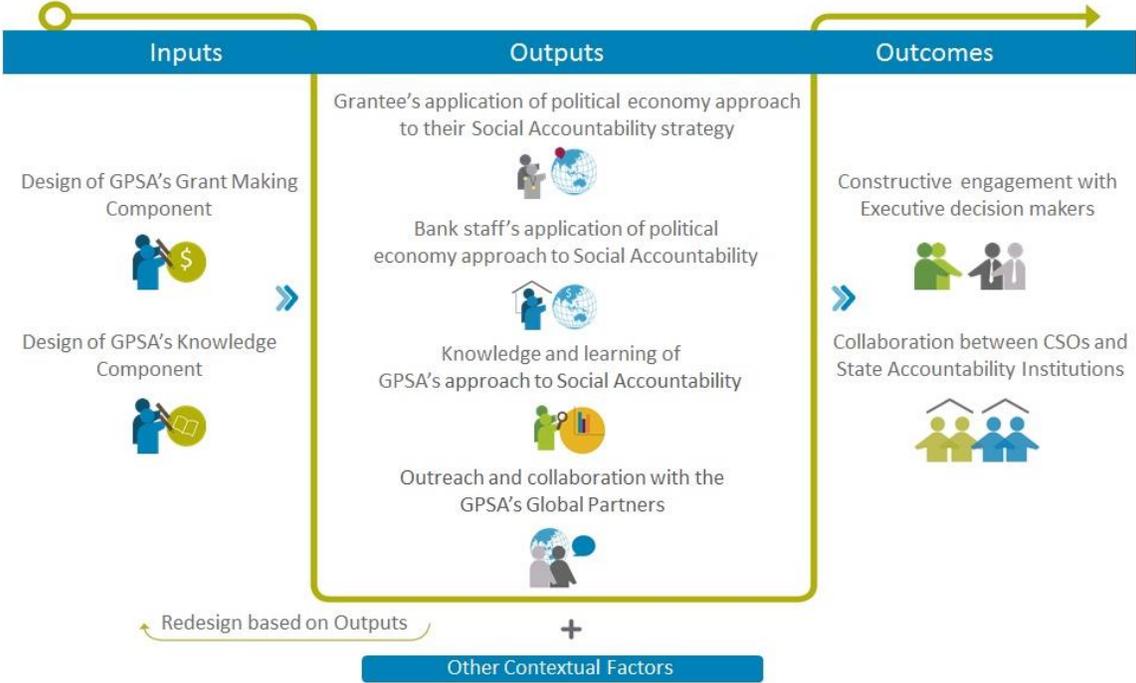
Theory of Change

Through its grant making and its knowledge and learning activities, the GPSA seeks to (1) increase constructive engagement between civil society actors and government decision makers in the executive responsible for improved service delivery; and (2) facilitate collaboration between the social accountability initiatives of civil society actors and state institutions of accountability (sometimes also referred to as "horizontal" or "independent" institutions of accountability) for overseeing actors in the executive responsible for service delivery. These are the two main outcomes of the GPSA's theory of change (see Figure 1 1).

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[4] As of February of 2014, the following foundations have made contributions to the GPSA: Ford Foundation: US$ 3 million; Open Society Foundations: US$3 million in parallel funding and Aga Khan Foundation U.S.A.: US$500,000.

Rather than focusing solely on bottom-up citizen action, these two outcomes help to "close the loop" between state-society interactions by encouraging government responsiveness to citizens and civil society actors on citizen preferences for public service delivery and citizen demands for better governmental performance.

The GPSA will work to achieve these outcomes through four main outputs. Unlike outcomes, which are affected by both the GPSA's activities and contextual factors (which we discuss below), outputs are actions taken directly by the GPSA itself. The first is the integration of a comprehensive political economy approach into the operational strategies of the GPSA's grantees borne out of direct engagement with decision makers that have authority over service delivery or the governance of service delivery. The second is the application of strategic problem-driven political economy analyses by the Bank's Task Team Leaders (TTLs), the Country Management Units (CMUs) and the GPSA Advisors working with the GPSA grantees. The third is the knowledge and learning that the GPSA will produce through analysis and sharing of grantee activities and experiences among grantees, Global Partners, and other key actors working on social accountability initiatives. The fourth is the outreach and collaboration with the GPSA's Global Partners.

Figure 1: GPSA's Theory of Change

The GPSA's theory of change posits that its grant making program and its knowledge and learning activities will work together to produce these four outputs in the operational strategies of GPSA grantees, TTL, CMU, and GPSA Advisor work on GPSA projects, and the knowledge and learning

from analysis of grantee activities. These four outputs will then work jointly and in interaction with one another to effect change in the theory's two main outcomes. Contextual factors within each country context will also interact with the GPSA's outputs and mediate the impact of the outputs on the outcomes. In addition, the GPSA's theory of change also expects these four outputs to provide feedback to the GPSA during the course of the GPSA's lifetime to inform improvements in the design of both the grant making and knowledge and learning activities.[5]

Outcomes

This section elaborates on the GPSA's focus on promoting constructive engagement between civil society actors and decision makers in the executive and on increasing collaboration between social accountability initiatives and state accountability institutions in ways that can improve service delivery and responsiveness to citizen needs.

Motivations for the choice of outcomes in the GPSA's theory of change

First and foremost, the GPSA's focus on promoting constructive engagement and collaboration between civil society and state actors in social accountability is to enable beneficiary feedback and ensure that citizens and governments have the tools to respond to each other, thereby contributing to the goals of improving development and ending extreme poverty.[6] Within each project, GPSA grantees identify specific development challenges that they aim to address. Given that the specific challenges addressed by grantees vary with each project, the impacts of these interventions on development will be measured and evaluated within grantee projects.

A growing amount of evidence indicates that neither government actors on their own nor civil society actors on their own can produce improved government transparency or accountability.[7]

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[5] The GPSA's theory of change thus differs significantly from other initiatives in transparency and accountability in its emphasis on fostering collaboration and constructive engagement between civil society actors and state decision makers, its explicit political economy approach, and its utilization of the Bank's unique access to and leverage over state decision makers, its convening power, and its broad-based knowledge across country contexts. Twaweza, for example, aims to stimulate citizen action and government responsiveness through the collection, curation, and dissemination of information and evidence. Although its theory of change acknowledges that citizen action and government responsiveness may affect each other in turn, its theory of change conceptualize the two outcomes as distinct from one another so that its specific activities focus on having a direct impact on either citizen action or the decisions of authorities, rather than on collaboration and cooperation between civil society and government. Making All Voices Count (MAVC), on the other hand, focuses on encouraging the development of bottom-up innovations that connect citizens and governments in ways that improve government performance. In contrast to the GPSA's strategy of bringing civil society organizations with well-developed social accountability initiatives together with key decision makers in the executive and state accountability institutions, MAVC provides seed grants for the entrepreneurial development of innovative solutions and technologies, scaling-up grants to incubate promising ideas, and grants to researchers seeking to build an evidence base for what kinds of innovations work and why.

[6] See, for example, http://live.worldbank.org/from-engaged-citizens-to-more-responsive-governments.

[7] Shantayan, Devarajan, Stuti Khemani & Michael Walton, "Civil Society, Public Action and Accountability in Africa," Policy Research Working Paper Series 5733 (The World Bank).

[7] Rosie McGee & John Gaventa, "Shifting Power? Assessing the Impact of Transparency and Accountability Initiatives," IDS Working Paper 383 (Institute of Development Studies, 2011). Carmen Malena, Reiner Forster & Janmejay Singh, "Social Accountability: An Introduction to the Concept and Emerging Practice," Social Development Papers Paper No. 76 (The World

These findings suggest that funders should support social accountability strategies that engage government actors – rather than bypass or ignore them –to achieve their aims.

Facilitating constructive engagement and collaboration between civil society and state actors is also critical in developing countries because of the low-trust, low-efficacy equilibrium that exists in so many places. In many developing contexts, citizens and civil society organizations do not believe that state actors can or want to improve their performance and public service delivery. As a result, they either adopt a combative attitude toward the state or exit politics entirely. But the more combative or passive civil society organizations and citizens are, the less confident that state actors are that CSOs and citizens can assist them effectively in improving governance and public service delivery. By focusing on building constructive engagement and collaboration, the GPSA aims to break this equilibrium and move toward a more positive equilibrium where state and societal efforts are complementary and synergistic.

The GPSA has been set up to take advantage of the World Bank's official and unique relationship with governments, the range and reach of its partnership and knowledge services, its convening power, and its ability to complement and reinforce interventions to improve governance implemented by governments themselves. The Bank can use its convening power and leverage its traditional engagements with governments to create more space for state-CSO interaction, open policy dialogues to CSOs, and improve the quality of information sharing between grantees and governments. The ability of CSOs to reach government decision-makers when it matters and in ways that have a real chance to influence them are relevant, because the success and failure of many social accountability interventions is influenced the ability of CSOs to take advantage of political circumstances.[8] By knowing when and where the 'windows of opportunity' are, the Bank can help to close the feedback loop and move beyond engaged citizens to more responsive governments.

The Bank is uniquely equipped to understand the capacity and constraints of state institutions and CSOs on specific developmental and governance challenges through its analytic, knowledge, and advisory activities.   Moreover, these activities often provide the Bank with a detailed understanding of the variety of actors who have influence over a particular public service delivery or governance problem.   In dealing with the problem of teacher absenteeism, for example, interventions may need to involve not just civil society organizations and state actors but also parents, the teachers' union, and the head teachers' association.   The GPSA also takes full account of the need to disaggregate the state due to the diversity of interests and conflicts that

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Bank, 2004). Ghazala Mansuri & Vijayendra Rao, "Localizing Development: Does Participation Work?", Policy Research Reports, (The World Bank, 2013). Claire Mcloughlin & Richard Batley, "The Politics of What Works in Service Delivery: An Evidence-Based Review," ESID Working Paper 06 (International Development Department, University of Birmingham, 2012). Simon O'Meally, "Mapping Context for Social Accountability," Resource Paper (The World Bank, 2013). Jonathan Fox, "The Uncertain Relationship between Transparency and Accountability," Development in Practice 17:4 (2007): 663-671. Jonathan Fox, "Social Accountability: What does the evidence really say?" Presentation prepared for the World Bank, (Washington, DC 2014). Becky Carter, "Budget Accountability and Participation," Helpdesk Research Report (GSDRC, 2013). Stephen Kosack and Archon Fung. Does Transparency Improve Governance? Annual Review of Political Science (forthcoming).

[8] Becky Carter, "Budget Accountability and Participation," Helpdesk Research Report (GSDRC, 2013). Rosemary McGee & John Gaventa, "Review of Impact and Effectiveness of Transparency and Accountability Initiatives," Transparency and Accountability Initiative Workshop (Institute for Development Studies, 2010). Khagram et.al. 2013.

exist across different actors within the state. Different branches of government, ministries, levels, and even individuals may have very different constraints and preferences. The Bank's detailed knowledge and experience with multiple stakeholders in specific governance and development challenges enables the GPSA to identify potential partners and facilitate cooperation effectively.

Although the GPSA is not the only program that advocates constructive engagement and collaboration, the GPSA does add value to the promotion of social accountability in ways other funders cannot. [9] These comparative advantages have influenced the GPSA's decision to maximize its contributions and complement the efforts of other funders, by focusing on projects that implement collaborative social accountability strategies.[10] Adversarial social accountability are well suited to promote results under certain conditions, but other funders are better placed than the GPSA to support them.

Outcome 1: Constructive engagement between actors in civil society and the executive branch of country governments for improved service delivery and responsiveness to citizen needs

One of the GPSA's main objectives is to increase constructive engagement between civil society actors and government actors in the executive branch that influence resource allocations and decisions that affect developmental outcomes. This approach promotes discussion and deliberation between civil society and government actors in order to solve problems of poor services.[11]

This constructive engagement can entail working together to gather evidence on government performance and service delivery, to apply political pressure for change, or some combination of the two. This approach requires civil society organizations to search for political resources and influence inside the system the organization seeks to change. Often it also requires pursuing "second-best" policy solutions and taking into account multiple policy cycles over time.[12]

Collaboration between state and non-state actors requires sustaining a difficult equilibrium: civil society actors need to be careful about potential collusion and co-optation or perceived collusion

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[9] The World Bank, "Global Partnership for Social Accountability and Establishment of a Multidonor Trust Fund," last modified June 13, 2012, http://siteresources.worldbank.org/CSO/Resources/675810BR0REVIS0Official0Use0Only090.pdf. Also see, Global Partnership for Social Accountability, "Summary of Consultation Feedback and Overview of GPSA Features," accessed February 28, 2014,
http://siteresources.worldbank.org/CSO/Resources/Summary_of_Consultation_Feedback_and_GPSA_Features.pdf

[10] There are, of course, other initiatives seeking to promote constructive engagement between civil society actors and state decision makers and reformers. The Open Government Partnership (OGP), for example, brings governments and civil society organizations together to develop and implement national action plans for open government initiatives such as right-to-information (RTI) laws.   See the OGP Articles of Governance, http://www.opengovpartnership.org/node/1329.

[11] See Joshi and Houtzager 2012.

[12] Guerzovich , Florencia. Effectiveness of International Anticorruption Conventions on Domestic Policy Changes in Latin America (Latin American Program – Open Society Foundations)
http://www.opensocietyfoundations.org/sites/default/files/international-anticorruption-conventions-20120426.pdf.
Guerzovich, M. Florencia. 2010. Building Accountability: The Politics of Anticorruption, Northwestern University, Evanston, IL.

co-optation with state actors.[13] In the constructive engagement facilitated by the GPSA, civil society organizations drive strategic social accountability interventions while learning from and teaming up with state actors to identify and implement strategies for solving service delivery problems.

Civil society organizations can use different political strategies to try to affect the decisions of government officials. We often conceptualize the relationship between citizens and government officials and service providers as *adversarial*. In this view, providers will misbehave unless citizens vigilantly monitor them and seek to expose corruption and underperformance.[14] Citizens and civil society organizations use information to confront government actors and try to force them to change policies or behaviors, yet they are relatively powerless in the face of repression and institutional blockage. They thus often search for political resources outside the system in order to bring external pressure that might shock the system into a new status quo.[15] Adversarial social accountability work relies on grassroots mobilization, public demonstrations, and naming and shaming campaigns where civil society organizations might, for example, compile data about the failure of government to meet international standards in order to shame them through press conferences and media coverage.[16] Civil society organizations have also taken governments to court when they are unresponsive to access to information requests.[17]

In contexts where service providers, the executive, the legislature, and/or national courts have opened channels for citizen voice, bypassing these domestic opportunity structures may no longer be the first or only choice.[18] Civil society organizations can take a collaborative approach – for example, participatory budgeting processes – and use information to help and work with government actors to improve policies, governance, and development outcomes. Such methods presuppose the willingness of CSOs to reach out to decision-makers and engage in a continuous, iterative process of information and responding to information, but CSOs can remain autonomous actors. This process, of course, is not necessarily seamless or characterized by a complete overlap of interests and positions by CSOs and government interlocutors.

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[13]Guerzovich , Florencia. Effectiveness of International Anticorruption Conventions on Domestic Policy Changes in Latin America (Latin American Program – Open Society Foundations)
http://www.opensocietyfoundations.org/sites/default/files/international-anticorruption-conventions-20120426.pdf.
[14] See Joshi and Houtzager 2012.
[15] Keck, Margaret E., and Kathryn Sikkink. 1998. *Activists beyond borders : advocacy networks in international politics*. Ithaca, N.Y.: Cornell University Press; and ck, Margaret E., and Kathryn Sikkink. 1998. *Activists beyond borders : advocacy networks in international politics*. Ithaca, N.Y.: Cornell University Press.
[16] For an example, see the work of Mazdoor Kisan Shakti Sangathan analyzed in Rob Jenkins & Anne Marie Goetz, "Accounts and Accountability: Theoretical Implication of Right to Information Movement in India," *Third World Quarterly* 20:3 (1999): 603-22; or Ruth Carlitz & Rosie McGee, "Raising the Stakes: The Impact of HakiElimu"s Advocacy Work on Education Policy and Budget in Tanzania," Partnership Initiative Case Study Series (International Budget Partnership, 2013).
[17] Fernando Basch, "Children"s Right to Early Education in the City of Buenos Aires: A Case Study on ACIJ"s Class Action," Partnership Initiative Case Study Series (International Budget Partnership, 2011). See also, Vimala Ramachandran & Sapna Goel, "Tracking Funds for India"s Most Deprived: The Story of the National Campaign for Dalit Human Rights' "Campaign 789"," Partnership Initiative Case Study Series (International Budget Partnership, 2011); Guillermo M. Cejudo, "Evidence for Change: The Case of Subsidios al Campo in Mexico," Partnership Initiative Case Study Series (International Budget Partnership, 2012); and Neil Overy, "The Social Justice Coalition and Access to Basic Sanitation in Informal Settlements in Cape Town, South Africa," Partnership Initiative Case Study Series (International Budget Partnership, 2013).
[18] Sikkink 2005.

While few studies explain the conditions under which each one of these strategies should be used, there is growing consensus that the political context in which a social accountability project is implemented should influence a civil society organization's choice of political strategy.[19]

CSOs often struggle with identifying potential partners within government with whom they can forge and maintain cooperation and collaboration on shared objectives. They often lack information about both the formal and informal opportunities for engaging in public decision-making processes.[20]

Because of the Bank's unique relationship with country governments and its access to decision makers within the executive branch of these governments, the GPSA is able to help civil society organizations identify the actors within government who have the competence and authority to influence a particular decision about the allocation of resources or the delivery of public services. The GPSA's contributions thus extend beyond the funding it provides to its grantees.

By identifying the key government actors at various levels, civil society organizations can then produce information that is targeted and tailored to the people who actually have the power to make decisions and allocate resources.[21] The Bank may be particularly helpful in identifying the

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[19] On collaboration and confrontation, see, Archon Fung & Stephen Kosack, "Confrontation and Collaboration," Civil Society 4 Development, Blog #5 (Transparency Initiative 2013). Also see, O'Meally, "Mapping Context for Social Accountability"; Alina Rocha Menocal & Bhavna Sharma, "Joint Evaluation of Citizens' Voice and Accountability," Synthesis Report (Overseas Development Institute, 2008); M. Florencia Guerzovich, "Evaluating Conflicts of Interests Control Systems: Lessons about their Sustainability," Working Paper Series (SSRN, 2010).

[20] For example, on budgets see Carter, "Budget Accountability and Participation"; Anwar Shah, "Participatory Budgeting," Public Sector Governance and Accountability Series (World Bank, 2007); Alta Folscher, "Budget Transparency: New Frontiers in Transparency and Accountability," (Transparency and Accountability Initiative, 2010). More generally, Anuradha Joshi & Peter P. Houtzager, "Widgets or Watchdogs? Conceptual explorations in social accountability" Public Management Review 14: 2 (2012). Anuradha Joshi,"Context Matters a Causal Chain Approach to Unpacking Social Accountability Interventions" Work in Progress Paper (SDC-IDS, 2013). Anuradha Joshi, "Do they Work? Assessing the Impact of Transparency and Accountability Initiatives in Service Delivery. Development Policy Review 31.S1 (2013). Jonathan Fox, "Social Accountability: What does the evidence really say?" Presentation prepared for the World Bank, (Washington, DC 2014). Stephen Kosack and Archon Fung. Does Transparency Improve Governance? Annual Review of Political Science (forthcoming).

[21] The approach to information of GPSA interventions aims to link by design the suppliers and target users of information – this is consistent with recommendations in multiple reviews of the literature in the social accountability field, see Fung & Kosack, "Confrontation and Collaboration," Gaventa and McGee "Shifting Power? Assessing the Impact of Transparency and Accountability Initiatives," Fox, "The Uncertain Relationship between Transparency and Accountability", Dena Rigold, Alaka Holla, Margaret Koziol & Santhosh Srinivasan, "Citizens and Service Delivery: Assessing the Use of Social Accountability Approaches in Human Development," Directions in Development (The World Bank, 2012); Rosemary McGee & Ruth Carlitz, "Learning Study on 'The Users' in Technology for Transparency and Accountability Initiatives," Knowledge Programme (Hivos, 2013). Evan Lieberman, Dan Posner & Lily Tsai, "Does Information Lead to More Active Citizenship? An Evaluation of the Impact of the Uwezo Initiative in Kenya," Draft Paper (2012); Ivar Kolstad & Arne Wiig, "Is Transparency the Key to REducing Corruption in Resource-Rich Countries?", World Development 37:3 (2009): 541-532.

[21] Archon Fung, Mary Graham & David Weil, Full Disclosure: The Perils and Promise of Transparency (Cambridge: Cambridge University Press, 2007); Archon Fung, Hollie Russon Gilman & Jennifer Shkabatur, "New Technologies," Impact Case Studies from Middle Income and Developing Countries (Transparency Initiative 2011); Andres Mejia Acosta. The Impact and Effectiveness of Accountability and Transparency Initiatives: The Governance of Natural Resources. Development Policy Review 31.S1 (2013). ; Richard Calland, "Annex 3: Freedom of Information," TAI Impacts and Effectiveness (Transparency Initiative 2011); Ruth Carlitz, "Annex 2: Budget Processes," TAI Impacts and Effectiveness (Transparency Initiative 2011); Rose McGee, "Annex 5: Aid Transparency," TAI Impacts and Effectiveness (Transparency Initiative 2011); Martina Björkman and Jakob Svensson, "Power to the People: Evidence from a Randomzied Field Experiment on Community-Based Monitoring in Uganda," Quarterly Journal of Economics 124:2 (2009): 735-769; Priyanka Pandey, Sangeeta Goyal & Venkatesh Sundararaman,

actors within ministries who typically work behind the scenes and who are less visible to civil society organizations and the general public, yet play a central role in information-gathering and decision-making procedures.

The GPSA will draw on the Bank's experience and skills working with officials on government reforms and public financial management that Bank staff and country management units have accumulated over time in order to help forge working relationships between government decision makers and civil society organizations to identify collaborative efforts of mutual benefit. By drawing on insights from within the Bank and from relationships with government decision makers, CSOs will be better able to understand and tap into the different stages of the policy making cycle.[22]

By helping civil society organizations to identify potential allies within government, the GPSA can also help to create insider-outsider coalitions for reform and increased resources for public service delivery in which outsiders can generate public discussion and demand for change, while insiders use their political authority and knowledge of the bureaucratic process to push reforms forward as well.

By supporting the politically informed work of these multi-stakeholder partnerships, the GPSA can also contribute to the design of "politically responsive"[23] operational strategies. Such strategies build on knowledge about what policy and development reforms are feasible and can be implemented during the lifespan of a grant given the political opportunities and constraints of a particular context.

The Anticorruption Participatory Initiative (IPAC) in the Dominican Republic provides a concrete example of successful constructive engagement between civil society organizations and government decision makers in the executive branch.[24] In the case of IPAC, a group of international cooperation agencies led by The World Bank's country office, brought together pro-

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"Community Participation in Public Schools: The Impact of Information Campaigns in Three Indian States," *Education Economics* 17:3 (2009): 355-375; Abhijit Banerjee, Rukmini Banerji,Esther Duflo, Rachel Glennerster & Stuti Khemani, "Pitfalls of Participatory Programs: Evidence from a Randomized Evaluation in Education in India," *American Economic Journal: Economic Policy* 2:1 (2010): 1-30; Ritva Reinikka & Jakob Svensson, "The Power of Information in Public Services: Evidence from Education in Uganda," *Journal of Public Economics* 95:7 (2011): 956-966; William M. Cejudo, Sergio Lopez Ayllon & Alejandra Rios Cazares, eds., *The Policy of Transparency in Mexico: Institutions, Achievements, and Challenges* (Mexico: CIDE, 2010); Nicolas Dassen & Juan Cruz Vieyra, eds., *Open Government and Targeted Transparency: Trends and Challenges for Latin America and the Caribbean* (Washington DC: Institutions for People, 2012). Anuradha Joshi, "Do they Work? Assessing the Impact of Transparency and Accountability Initiatives in Service Delivery. Development Policy Review 31.S1 (2013).
Ezequiel Molina. Essays in the Political Economy of Service Delivery. Dissertation (Princeton University 2013).
Diarmid O'Sullivan. What is the point of transparency? Independent Report published with the support of the Open Society Fellowship (London 2013).Verena Fritz, Brian Levy & Rachel Ort, *Problem-Driven Political Economy Analysis: The World Bank's Experience* (DC: World Bank, 2014); Cejudo, Lopez Ayllon & Rios Cazares, *The Policy of Transparency in Mexico: Institutions, Achievements, and Challenges*
[22] This a success factor for social accountability interventions identified by McGee & Gaventa, "Review of Impact and Effectiveness of Transparency and Accountability Initiatives," among others.
[23] Fritz, Levy & Ort, *Problem-Driven Political Economy Analysis: The World Bank's Experience*
[24] Jonathan Fox refers to this strategy of civil society reformers cooperating with higher-level reformers in the state as a "sandwich strategy." See Jonathan Fox, *The Politics of Food in Mexico: State Power and Social Mobilization* (Cornell: Cornell University Press, 1993).

reform government officials and civil society actors to discuss, propose, and monitor concrete and feasible good governance measures on an ongoing basis.[25] This initiative identified ten concrete areas and created thematic working groups comprised of reform-oriented government officials and civil society organizations in the same sector. Meetings ranged from several times a year to, in some cases, monthly, and groups worked together to define actionable recommendations for change. In the case of the working group on public financial management, for example, the group decided to push for the creation of a single bank account for the Treasury in order to make it easier to monitor fiscal expenditures.

These working groups made it easier to coordinate reformers – inside, outside and across the government – who previously may not have known about or trusted one another's efforts. IPAC also made it more likely that individual stakeholders united together to convince key decision-makers to implement anticorruption reforms. As a result, projects have been fast-tracked. Governance milestones appear more likely to be considered. Levels of programmatic coherence are higher.

In other cases, civil society organizations might work together with government actors by gathering data to provide to their government partners for use in internal negotiations with other ministries or officials. Bureaucrats in the Ministry of Finance might, for example, take evidence produced by civil society partners to discussions with their counterparts in other ministries when they are negotiating the budget.

Outcome 2: Collaboration between social accountability initiatives and state accountability institutions in overseeing service delivery by the executive branch

The other main objective of the GPSA is to increase collaboration between civil society actors implementing tools for social accountability and state actors that can influence the enforcement and design of official state institutions for bureaucratic accountability in overseeing service delivery by the executive branch.

Again, this collaboration can entail working together to gather evidence and to coordinate efforts for greater accountability by CSOs with efforts by state actors, to apply political pressure for change in coordination with each other, or some combination of the two.[26]

Official state institutions for bureaucratic accountability – sometimes also referred to as "horizontal accountability"[27] – are institutions that oversee and sanction public agencies and

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[25] Florencia Guerzovich. "How to Articulate and Strengthen Pro-reform Coalitions: The Case of the Participatory Anticorruption Initiative in the Dominican Republic" Unpublished Manuscript (The World Bank, 2011).

[26] The effectiveness of collaboration, however, does rest on the assumption that state accountability institutions do not work against each other to block one another's effectiveness and that there is effective inter-horizontal coordination when necessary. If, for example, a parliamentary oversight committee suppresses the report from the supreme audit institution, collaboration between civil society organizations and the supreme audit institution may not necessarily result in increased government responsiveness.

[27] Guillermo O'Donnell, "Delegative Democracy," *Journal of Democracy* 5:1 (1994): 55-69; Guillermo O'Donnell, "Horizontal Accountability in New Democracies," *Journal of Democracy* 9:3 (1998): 112-126.

government officials.[28] Conversely, CSO-led transparency interventions may be more likely to lead to accountability when state oversight bodies use this information to hold government to account and apply sanctions, if necessary.[29]

As the GPSA's Board Paper notes, social accountability tools and mechanisms – such as citizen report cards, community scorecards, participatory budgeting, and public hearings – are designed to gather systematic citizen feedback on government performance. Such feedback may offer valuable evidence to horizontal accountability agencies in their assessment of public programs, service delivery and institutions.

As with the previous outcome, the choice to focus on this outcome leverages the Bank's existing dialogues with and support to horizontal state accountability institutions, such as supreme audit institutions, anti-corruption offices, information commissions, ombudsman offices, and parliamentary and judiciary checks-and-balances institutions.[30] Again, building on the Bank's unique advantages in accessing and establishing working relationships with decision makers in these institutions, the GPSA seeks to identify civil society and state actors who may have shared or complementary objectives in the promotion of government accountability and good governance, and to connect these actors to each other.

Forging these collaborative relationships can take advantage of situations in which civil society organizations and state actors may have different resources and competencies that can serve as complementary inputs into political pressure for improved accountability.[31] Collaboration in fostering greater government accountability is especially critical when inputs from civil society and state actors are not completely substitutable for each other. In these situations, collaboration between the two types of actors results in a higher level of output – in this case, improved accountability – than if there were no collaboration.[32] Moreover weak formal

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[28] Horizontal state accountability institutions include agencies and offices within the state such as auditing agencies, oversight commissions, anticorruption commissions, ombudsmen, central banks, and personnel departments within line ministries. As part of the government itself, however, these institutions can find it difficult to establish legally authorized and/or actual autonomous oversight and sanctioning abilities. Susan Rose-Ackerman, *From Elections to Democracy: Building Accountable Government in Hungary and Poland* (New York: Cambridge University Press, 2005).

[29] Fox, "The Uncertain Relationship between Transparency and Accountability"; Matthew McCubbins & Thomas Schwartz, "Congressional Oversight Overlooked: Police Patrols versus Fire Alarms," *American Journal of Political Science* 28:1 (1984): 165-179.

[30] The Bank, for example, has given grants and loans to supreme audit institutions on technical issues such as best practices in auditing, and has worked with the International Organization of Supreme Audit Institutions and its regional chapters. Units such as the Social Development Department (SDV) have been working with provincial-level ombudsman in Pakistan on how to facilitate interactions between citizens and the executive in post-conflict contexts. See, for example, the Social Development Department / Demand for Good Governance's companion note to the GAC Update II and its section on Demand for Good Governance and Independent Accountability Institutions (Grandvoinnet).

[31] Such collaboration constitutes what Elinor Ostrom has referred to as "coproduction," or the process through which inputs used to produce a good or service are contributed by individuals who are not "in" the same organization. See Elinar Ostrom, "Crossing the Great Divide: Coproduction, Synergy, and Development," in State-Society Synergy: Government and Social Capital in Development, ed. Peter Evans (Berkeley: University of California, 1997): 86. For examples of coproduction in Brazil, see Augusto Doin, Guilherme, et.al. Mobilização social e coprodução do controle: o que sinalizam os processos de construção da lei da ficha limpa e da rede observatório social do Brasil de controle social. Pensamento & Realidade. 2012, Vol. 27 Issue 2, p56-79. 24p.

[32] Ostrom refers to this type of collaboration or coproduction as "synergy" since it is impossible to achieve the same level of output with only input from one or the other type of actor. Elinar Ostrom, "Crossing the Great Divide: Coproduction, Synergy,

oversight institutions -- legislators and supreme audit institutions – deprive civil society actors of an important route to influencing state actions and ensuring accountability.[33]

In the case of Argentina, for example, officials in the General Audit Office (AGN) faced more potential issues for auditing than they could handle. To prioritize issues for auditing, they conducted a Participatory Planning Programme to incorporate feedback from civil society into the audit plan.[34] State auditors had technical resources and capacity to conduct audits but lacked political authority to address problems uncovered by the audit beyond releasing their report. Civil society groups lacked incentives to use the reports. In this case, dialogue contributed to incorporating information from and the perspective of a wide variety of actors. Civil society can also provide information to auditors[35] or contribute to strengthening compliance with audit recommendations. For instance, civil society partners can use audit evidence to lobby elected representatives to pass new laws, publicize the findings of the audit in press releases for the media, and support other advocacy activities to press for the sanctioning of poor performance and/or reforms to address underlying causes.

Outputs

The GPSA will produce four main outputs intended to work in conjunction with one another to effect change on the two main outcomes discussed above. Through its grant making and its knowledge and learning activities, the GPSA will (1) integrate problem-driven political economy

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and Development," in *State-Society Synergy: Government and Social Capital in Development*, ed. Peter Evans (Berkeley: University of California, 1997): 101-102.

[33] Folscher, "Budget Transparency: New Frontiers in Transparency and Accountability"; Evilasio Salvador, "The role of Brazilian Civil Society in the Tax Reform Debate: INESC's Tax Campaign," Partnership Initiative Case Study Series (International Budget Partnership 2012); Tony Dogbe & Joana Kwabena-Adade, "Ghana: Budget Monitoring by SEND-Ghana and its Partners Helps Improve Nutrition for Children and Support Local Farmers," Partnership Initiative Case Study Series (International Budget Partnership 2012).

[34] Carolina Cornejo, Aranzazu Guillan & Renzo Lavin, "When Supreme Audit Institutions Engage with Civil Society: Exploring Lessons from the Latin American Transparency Participation and Accountability Initiative," U4 Practice Insight No. 5 (Bergen: Chr. Michelson Institute, 2013). = On SAIs and citizen engagement also see, Aranzazu Guillen Montero, "Building Bridges: Advancing Transparency and Participation Through the Articulation of Supreme Audit Institutions and Civil Society" (paper presented at the 2nd Transatlantic Conference on Transparency Research, Utretch, June 7-9, 2012); Quentin Reed."Maximising the efficiency and impact of Supreme Audit Institutions through engagement with other stakeholders" Chr. Michelsen Institute (U4 Issue 2013:9). For analysis of experiences of civil society organizations working with other state accountability institutions, see e.g. Enrique Peruzzotti, "Accountability Deficits of Delegative Democracy" Paper presented at the Conference: Guillermo O'Donnell and the Study of Democracy (Buenos Aires 2013); Rick Stapenhurst, Riccardo Pelizzo & Mitchell O'Brien ex post financial oversight: legislative audit, public accounts committees….and parliamentary budget offices?. Background paper OECD parliamentary budget officials and independent fiscal institutions 4th Annual meeting (OECD 2012); Pelizzo, Riccardo and Spaenhurt, Rick, Legislative Oversight and the Quality of Democrach (July 10, 2012). Available at SSRN: http://ssrn.com/abstract-2105585 or http://dx.doi.org/10.2139/ssrn.2105585; Pelizzo, Riccardo and Stapenhurst, Rick, The Role of Parliament in Promoting Good Governance in Africa (September 18, 2007). Available at SSRN: http://ssrn.com/abstract-2101133 or http://dx.doi.org/10.2139/ssrn.2101133; Guerzovich, M. Florencia. 2010. Building Accountability: The Politics of Anticorruption, Northwestern University, Evanston, IL.

[35] In Ghana, the analysis of a CSO led to investigations of the national school-feeding scheme by the national audit institution. Dogbe & Kwabena-Adade, "Ghana: Budget Monitoring by SEND-Ghana and its Partners Helps Improve Nutrition for Children and Support Local Farmers."

analyses into the operational strategies of civil society organizations implementing social accountability initiatives; (2) apply problem-driven political economy analyses in the work of the Task Team Leaders (TTLs), Country Management Units (CMUs) and GPSA Advisors supporting GPSA grants; (3) generate knowledge about the process of customizing social accountability interventions to specific political economy contexts through analysis of grantee experiences and sharing of experiences by GPSA Global Partners and other actors working on Social Accountability; and (4) support outreach and collaboration with the GPSA's Global Partners.

The GPSA's strategic problem-driven political economy approach to social accountability

The GPSA's approach to the promotion of social accountability relies on a *comprehensive and strategic* problem-driven approach that tightly couples political analysis based on *direct engagement with government decision makers* with the development of CSO strategies and tactics for designing and implementing social accountability initiatives.[36] This approach contrasts sharply with providing solely technical inputs to solve a particular problem. The GPSA's strategic approach to social accountability goes beyond basic political economy analysis by stressing the development of a set of linked tactics and tools that are tailored to the political context and selected on the basis of their *political* costs and benefits for all the stakeholders, including service users, CSOs, service providers, and decision makers within the state, which themselves may also span a range of actors with diverse interests.

Basic political economy analysis is concerned with the interaction of political and economic processes in a society. It focuses on power and resources, how they are distributed and contested in different country and sector contexts between different groups and individuals, and the processes that create, sustain, and transform these relationships over time.

A problem-driven political economy approach identifies a specific development challenge, assesses why the observed dysfunctional patterns are present, and identifies ways of initiating reform and change. Political economy analysis does so by assessing interests, incentives, rents and rent distribution, historical legacies, prior experiences with reforms, and how all of these factors affect or impede change for the particular problem.[37]

The GPSA's *strategic* political economy approach goes beyond analysis alone; it aims at much more than writing up a map of stakeholders and a review of institutional and governance arrangements for a specific governance problem. The GPSA emphasizes the development of a

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[36] On strategic social accountability see, http://www.opensocietyfoundations.org/sites/default/files/international-anticorruption-conventions-20120426.pdf. Jonathan Fox, "Social Accountability: What does the evidence really say?" Presentation prepared for the World Bank, (Washington, DC 2014). A series of GPSA dissemination notes by Maria Poli and Florencia Guerzovich illustrate how these concepts apply to GPSA's experience to date, GPSA Knowledge Platform, gpsaknowledge.org

[37] This definition of political economy analysis draws on the Bank's definition provided in Alice Poole, "How-To Notes: Political Economy Assessments at Sector and Project Levels" (DC: The World Bank, 2011); the OECD-DAC definition is citd in DFID. Political Economy Analysis How-to Note. DFID Practice Paper (London 2009). See also Clare McLoughlin, "Topic Guide on Political Economy Analysis" (Governance and Social Development Resource Center 2009); Sarah Collinson; "Power, Likelihoods and Conflict: Case Studies in Political Economy Analysis for Humanitarian Action," Human Policy Group Report #13 (Overseas Development Institute 2003).

social accountability strategy that is responsive to prevailing political economy dynamics – combining tools and tactics that (1) fit together and (2) fit the context. These tools may be formal (i.e., mandated by laws and regulations) and informal (set up or organized by CSOs and citizen groups). They should, however, be *linked* together in complementary ways that reinforce one another and/or provide complementary inputs into the social accountability process.

Moreover, each of these tools, as well as the overall strategy, ought to be *tailored* to the political context. The goal is to identify political opportunities for reform and change on specific problems within particular contexts, and to design strategies and operations that are feasible given the political incentives and constraints of all the key actors – state and nonstate – for a particular problem within a particular context. [38]

The design of the strategy and the choice of tools should thus take into account the "entry points" in decision making and implementation where voice and pressure could make a difference, the existing capacities and incentives of the actors to be engaged, in addition to a cost-benefit analysis of alternatives, a mapping of the political-institutional context, and an assessment of the needs and problems regarding the service delivery chain or management process.

Moreover, the GPSA's strategic approach to problem-driven political economy analysis also entails direct engagement with decision-makers that have authority over the service delivery chain or over the management and governance of the process of service delivery. While the starting point may be an initial analysis of government performance and mapping of power dynamics, political opportunities, and constraints, such analysis cannot be based on secondary data. Given that the process of social accountability should be designed to help solve a policy issue (involving one or more policy making stages), engagement with decision-makers is necessary in order to devise a realistic set of interventions that complement what the public sector is already doing to address the problem.

In short, the GPSA's strategic problem-driven political economy approach involves not only helping grantees apply standard political economy analysis to their strategy for social accountability, but a comprehensive social accountability approach that tightly couples political analysis with strategies and tactics. This approach also informs the GPSA's monitoring, evaluation, and learning components.[39]   Without this type of strategic political economy approach, the social accountability initiative may only be partially influential, or at worst, irrelevant.

 Output 1: Application of strategic and comprehensive political economy approach to social accountability to GPSA grantee strategies

The first output the GPSA will produce is the integration of political economy analyses into the

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[38] Fritz, Levy & Ort, *Problem-Driven Political Economy Analysis: The World Bank's Experience*
[39] On this issue, see Monitoring and Evaluation when Politics Matters Chris Roche & Linda Kelly, Developmental leadership Program (Background Paper 12: Notes from Program Experience, 2012). Guerzovich , Florencia. Effectiveness of International Anticorruption Conventions on Domestic Policy Changes in Latin America (Latin American Program – Open Society Foundations) http://www.opensocietyfoundations.org/sites/default/files/international-anticorruption-conventions-20120426.pdf.

strategies of GPSA grantees for project implementation. Integration of political economy analysis (PEA) into these operational strategies – both the initial ones outlined in the grant application as well as subsequent revisions responding to changes in the political economy context – means that CSOs will be able to articulate in both writing and in their day-to-day work why the specific reform or change within the government that the CSO is pursuing is feasible and actionable from the government's point of view.

Integration of political economy analysis also entails justification by the CSO of why its strategies for building multi-stakeholder support, its plans for constructive engagement with government actors and collaboration with horizontal state accountability institutions, and its choice of social accountability tools are feasible and actionable, given the structure of the policy process in their context and the political incentives and constraints facing key government actors. This political economy analysis would include a power analysis, identify the formal and informal rules for government and service providers, evaluate the incentives of government and service providers, and specify what types of information would be actionable for these actors.

How will the GPSA produce this output?

The GPSA will produce this output through actions taken at all three stages of the grant making process – the call for proposals, the selection of grantees, and the implementation of grantee projects.

Call for proposals and design of the grant. First, during the call for proposals, the GPSA only operates in countries whose governments have voluntarily opted into the GPSA's grant making program. By opting in, these governments are already more likely to be open to the implementation of collaborative strategies and working together with CSOs to identify political opportunities and openings in the policy process through political economy analysis.

Second, the GPSA works with the Bank's country offices to assess the political economy context of each country and identify issue areas where there may already be windows of opportunity for constructive engagement and collaboration among CSO and government actors. Based on this assessment, they adapt the GPSA's global mandate to the local context, tailoring the call for proposals to each country's political economy context and identifying a different substantive focus for grant applications in each country.

Third, the time horizons for the grants are longer than typical social accountability grants, which give grantees time to take into account how political processes affect their operational strategies and to design and revise these strategies as the political economy context changes.

Selection process. As part of the grant application process, the GPSA requires CSO applicants to assess the political economy context of the concrete problems they hope to address through the implementation of social accountability initiatives. Applicants have to target concrete problems, identify the decision makers and decision-making processes relevant to these problems, and describe in their applications how their proposals lever existing government systems to improve

governmental performance and service delivery.[40]

The GPSA then allocates grants to applicants that incorporate political thinking into their proposals and respond to suggestions from reviewers and the GPSA secretariat on how better to integrate and apply political economy analyses to their operational strategies.

Project implementation. During the course of the grantee's project implementation, the GPSA will seek to utilize the Bank's in-country assets, including country offices, ongoing funding portfolios, existing resources, and the Bank's unique access to government officials in order to integrate a comprehensive and strategic problem-driven approach to social accountability, including a political economy analysis conducted through direct engagement with government decision makers and the development of an operational framework that is embedded into the actual policy making and implementation process about the problem at hand. Applicants, for example, receive feedback from their governments early in the project, thus opening opportunities for dialogue and identifying entry points for action that grantees might not be able to see or create on their own.

Moreover, the GPSA is willing to provide public goods to grantees and bear the costs of facilitating collective learning, problem solving and action. In the process of revising the proposals and structuring the final project, the GPSA provides guidance to grantees to ensure that their social accountability initiative is realistic and can be feasibly implemented. This guidance includes the application of strategic political economy analysis but also encompasses other elements that are needed for an effective social accountability approach, such as selecting appropriate tools and mechanisms for citizen engagement and feedback generation that tap into ongoing decision making processes where feasible, or identifying cost-effective alternatives that might increase the ability of CSOs to implement self-sustaining processes.

The knowledge and learning component of the GPSA's activities will also contribute to these objectives.[41] This component will provide advice to grantee CSOs through the Bank's in-house pool of global knowledge as well as by facilitating the provision of expertise from Global Partners. This component will also provide opportunities to increase knowledge and skills about how to apply political economy approaches to specific projects and contexts. The GPSA's knowledge component will also target government officials and Bank staff, and facilitate exchanges of tacit knowledge among officials, Bank staff, and CSOs. These exchanges can deepen the understanding of grantees about political economy drivers and obstacles to reform.

Finally, as this document explains, the GPSA integrates political economy in its Monitoring & Evaluation systems. For instance, it will encourage the integration of a political economy

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[40] Florencia Guerzovich and Maria Poli are currently writing a GPSA dissemination note spelling out how the GPSA application templates and selection processes used in Rounds 1 and 2 sought to identify politically savvy, strategic social accountability projects.

[41] The approach proposed here, and further developed for output 3 below builds on and adapts key insights and the latest recommendations to increase the effectiveness of World Bank's knowledge service provision for operational work.
Independent Evaluation Group. Knowledge Based Country Programs: An Evaluation of The World Bank's Experience Report (IEG, 2013).

approach into the operational strategies of grantees. It will encourage learning about political economy that has explicit impact on grantees decision-making;[42] it will not penalize grantees that correct their course of action as a result of improved understanding of their political circumstances and the political economy context of their problem of interest.

<u>How will we know that the GPSA has produced this output?</u>

The Results Framework identifies two main indicators for the integration of political economy analyses into the operational strategies of GPSA grantees (see Table 1). First, can grantees explain – in their final project design before implementation and subsequent progress reports (Technical Reports) – why they expect their requests for the government to be feasible and actionable *from the government's point of view*.[43]

Second, can grantees explain in their final project design and subsequent documentation of their operational strategies why their strategies for building multi-stakeholder support, their plans for constructive engagement with government actors, and their choice of social accountability tools are realistic, given the structure of the policy process in their context and the political incentives and constraints facing key government actors.

Output 2: Application of strategic and comprehensive political economy approach to social accountability by the Bank's Task Team Leaders and Country Management Units

The second output the GPSA will produce is the alignment of Task Team Leaders (TTLs), Country Management Units (CMUs) and GPSA Advisors with the GPSA's strategic problem-driven political economy approach by the Task Team Leaders (TTLs), Country Management Units (CMUs), and GPSA Advisors associated with each grantee.

Each grantee project is handled by a Task Team Leader (TTL) who has overall responsibility for overseeing the project from inception to completion. The Task Team Leader is selected from the professional staff based on his or her experience and professional training. Country Management Units (CMUs) of the countries where grantees are located will also work with grantees and TTLs to oversee grantee projects.   CMUs are responsible for Bank dialogue with the country and the preparation of the Country Assistance Strategy (CAS), which is the basis for the Bank's financial support to the country.

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[42] This could include decisions about making program choices; creating and updating theories of change; choosing delivery mechanisms; and adapting and improving implementation of activities. For further guidance on this approach see, http://icai.independent.gov.uk/wp-content/uploads/2014/04/How-DFID-Learns-FINAL.pdf.

[43] Measurement of this indicator might include evidence from the final project design (after approval by the GPSA before implementation) and from subsequent progress reports that grantees have designed and implemented social accountability initiatives that are generating systematic feedback about the problem being addressed, about adjustments to the process being incorporated as a result of learning; evidence from these sources that the social accountability process is being implemented through collaborative engagement with relevant decision makers; and evidence from these sources that feedback through a combination of social accountability tools and mechanisms is being used by decision makers and leading to actual adjustments in policy making and implementation processes to solve the problem of interest.

Each grantee's Task Team Leader and Country Management Unit will advise on the specific political economy context of each grantee's intervention. They will help identify potential government partners for grantees, facilitate connections and meetings between government actors and CSO grantees, and invite CSOs to existing policy dialogues between the Bank and the country government on related issues.

TTLs and CMUs will also provide information to GPSA grantees on how the policy cycle works, help identify entry points into the policy cycle where CSOs can provide inputs and participate in discussions with government decision makers. They will also help CSOs identify the kinds of information that can sway public officials and help information from CSOs reach public officials in both the executive and in state accountability institutions.

To supplement this effort, the GPSA Secretariat identified GPSA Advisors as needed for each project to support capacity building of each grantee based on an increased demand from TTLs to reinforce grantee's capacity to implement social accountability interventions and improve their capacity to conduct political economy analysis. The advisor's role will be two-fold:

> (i) Assist the grantee and the TTL on social accountability and political economy aspects of project implementation. This includes identifying specific technical assistance, access to knowledge and networking needs; and
> (ii) Channel all communications from and to the grantee and TTL, and redirecting special requests to other GPSA work areas (eg. Communications, K&L, M&E) where needed. The purpose of this is to streamline/centralize the communications between the GPSA and the grantee and TTL, in order to make communication smoother and more efficient.

How will the GPSA produce this output?

The GPSA will work with TTLs, CMUs and Advisors to provide grantees with continued implementation support through its Knowledge Platform in the form of mentoring and technical assistance via Bank and external resources. For example, when grantees face specific implementation issues, the GPSA will facilitate a process of discussion through the technical assistance facility / pilot social accountability lab, which will involve TTLs, government counterparts, and specific experts from both within and outside the Bank. The GPSA and its Advisors will also work with TTLs and CMUs to provide grantees through the Knowledge Component with opportunities for accessing a pool of global knowledge and for exchanging amongst themselves targeted knowledge and learning about specific topics within the GPSA's strategic approach to social accountability that they want to refine and improve, such as methodologies for social accountability, systems for monitoring and evaluation.

How will we know that the GPSA has produced this output?

The first indicator for this output will be measured by asking the grantees to report on the extent to which Advisors, Task Team Leaders and Country Management Units helped them to identify key government actors and facilitate relationships with them. Specific components of this indicator are specified in Table 1.

The second indicator for this output is the degree to which Advisors, TTLs and CMUS customized global knowledge to inform the strategies and actions of civil society organizations. Specifically, did CMUs customize the call for proposals for each country context? Did CMUs customize the orientation sessions for potential applicants for each country context? Did Advisors, TTLs and CMUs cite global knowledge and adaptation of this global knowledge in their justification of why they signed off on mid-course corrections in the operational strategies of the grantees?

Output 3: Knowledge and learning of the GPSA's approach to Social Accountability

The third output produced by the GPSA will be knowledge and learning, and sharing of aggregated lessons from the GPSA's approach to social accountability. As per the Knowledge Component's strategy, the GPSA will prioritize content around the following issues already covered in this results framework document: 1) how to think and act politically when advancing transparency and accountability reforms; 2) citizen-state constructive engagement; and 3) collaboration between social accountability initiatives and state horizontal accountability mechanisms.[44]

The GPSA has a unique emphasis on constructive engagement with government decision makers and collaboration between social accountability initiatives and state accountability institutions. As noted earlier, there is a consensus emerging that neither government actors on their own nor civil society actors on their own can produce improved government transparency or accountability.

Yet few have had the unique advantages that the Bank has in facilitating these cooperative and collaborative relationships. As a result, the existing state of knowledge about how this approach actually works and under what conditions is relatively under-developed.[45]

By engaging in systematic analysis of grantee experiences, the GPSA will produce both operationally useful knowledge for CSOs and in rigorous evidence of the contribution of social accountability to the quality of public services and improvement in development outcomes. Both are public goods that the GPSA has a mandate to provide according to its Board Paper.

As an *option* for the knowledge and learning approach, structured comparative analysis compares two or more cases in order to generate or evaluate working hypotheses about the relationship of an intervention to the outcomes it seeks to affect. It can involve comparisons between just two cases or, as in the case of survey research, hundreds and thousands of cases. These cases may be from within the same grantee project, or they may be different grantee projects. It can be two cases – or, in the case, of survey research, it can be hundreds of cases or more.

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[44] Global Partnership for Social Accountability. Knowledge and Learning for Social Accountability Strategy. February 2014.
[45] McGee & Gaventa, "Review of Impact and Effectiveness of Transparency and Accountability Initiatives"; Jonathan Fox, "Social Accountability: What does the evidence really say?" Presentation prepared for the World Bank, (Washington, DC 2014); Stephen Kosack and Archon Fung. Does Transparency Improve Governance? Annual Review of Political Science (forthcoming).

Structured comparative analysis is clear and explicit about the objective of the comparison of cases. Possible objectives include trying to figure out why very similar cases had different outcome, why very different cases had similar outcomes, whether a particular characteristic of an intervention or a particular contextual condition had a substantial impact on the outcome, and/or whether interventions can have similar impacts in a wide range of contexts.

All of these objectives are important for practitioners who often want to know how best to design their interventions, the conditions under which their interventions are most likely to have an impact on the outcomes that they seek to change, and whether their intervention is likely to work in a number of different contexts.

By engaging in careful comparisons of social accountability initiatives, the GPSA can assist grantees by identifying possible differences in contextual conditions that might lead to differences in the success of these initiatives. Such comparisons help to identify lessons from the political economy work conducted by civil society organizations such as the type of information and incentives that are critical for the success of social accountability initiatives; the processes of constructive engagement and the role played by brokers or interlocutors;[46] the experiences of civil society collaboration with horizontal state accountability institutions; and the incentives and factors that induce state actors to be more willing to listen to and partner with citizens and civil society organizations.[47]

These comparisons will take advantage of knowledge that grantees themselves produce through the funding in the grant that is allocated to knowledge and learning as well as knowledge produced directly by the GPSA.

<u>How will the GPSA produce this output?</u>

The GPSA will produce and commission knowledge products that capture lessons about the implementation of the GPSA model of social accountability produced through case studies.

The GPSA will also produce and commission research to help specific grantees answer operationally useful questions and evaluate the impact of specific grantee projects on development outcomes and outcomes in the GPSA's theory of change.

The GPSA will contribute to learning also through Knowledge Portal activities, such as webinars and e-forums, the GPSA's Brown Bag Lunch sessions (BBLs).

<u>How will we know that the GPSA has produced this output?</u>

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[46] See, for example, Anirudh Krishna on brokers, and Jonathan Fox on interlocutors. See Fox, "the Politics of Food in Mexico: State Power and Social Mobilization."

[47] E. Peruzotti refers to this kind of collaboration as the "societalization of horizontal accountability institutions." See Enrique Peruzzotti, "The Societalization of Horizontal Accountability: Rights Advocacy and the Defensor del Pueblo de la Nacion in Argentina," in *Human Rights, State Compliance, and Social Change: Assessing National Human Rights Institutions*, eds. Ryan Goodman & Thomas Pegram (New York: Cambridge University Press, 2012).

There are two main indicators for this output. The first is the number of knowledge products – including notes, reports, webinars, e-forums, Brown Bag Lunch sessions (BBLs) etc. – capturing lessons about 1) how to think and act politically when advancing transparency and accountability reforms; 2) citizen-state constructive engagement; and 3) collaboration between social accountability initiatives and state horizontal accountability mechanisms. This indicator also captures the quality of the analyses about the implementation of the GPSA model of social accountability in these knowledge products.

The second indicator is the perceptions of grantees, TTLs, CMUs, and Advisors for participating countries of the usefulness of GPSA knowledge products and activities for their decision-making and actions. Have they actually applied knowledge and learning from these products and activities to make decisions about mid-course corrections? Have these products and activities helped them to carry out their own knowledge and learning, which is an integral part of each grant?

Output 4: Outreach and collaboration with the GPSA's Global Partners

The GPSA will also lever its position to forge a diverse network of Global Partners and foster a worldwide and vibrant community of practice – within the Global Partners and beyond – contributing to and benefitting from knowledge generated or disseminated through the GPSA.

To date, the GPSA's Global Partners include over 210 organizations from civil society, donors, private sector, and academia.[48] In becoming Global Partners, these organizations have endorsed the objectives and approach of the GPSA.

Moving forward, the GPSA expects that the Global Partners will contribute to improved knowledge on the broader social accountability field. Global Partners will share existing knowledge about their own practical experiences as well as academic and technical knowledge related to the GPSA's theory of change. Global Partners will also disseminate the work of the GPSA to a broader range of stakeholders than the GPSA could reach on its own.

Global Partners will also support GPSA's approach to social accountability. Potential examples include assistance with ICT tools, monitoring and evaluation research, and media communications. Such assistance includes (but is not limited to) providing customized technical assistance to GPSA grantees, contributing to the definition of country-tailored calls for proposals, and helping the GPSA evaluate submissions.

In supporting both outreach and collaboration efforts, the GPSA expects Global Partners to contribute to the outcomes (and impacts) described in this document.[49]

How will the GPSA produce this output?

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[48] For an updated list, see www.theGPSA.org/sa/partner

[49] Global Partnership for Social Accountability. Knowledge and Learning for Social Accountability Strategy. February 2014.

The GPSA will actively identify organizations from civil society, donors, the private sector, and academics to participate in the GPSA's network of Global Partners. Activities such as the GPSA grantees workshop, Brown Bag Lunch sessions, the Global Partners Forum, the technical assistance, and online programming through the Knowledge Platform will actively engage Global Partners and help them to identify areas of potential collaboration and synergy with one another. Such collaboration is not mandatory, of course, but the GPSA will connect Global Partners with each other and with grantees when it receives information about shared or complementary interests.

<u>How will we know that the GPSA has produced this output?</u>

These indicators capture the value that Global Partners add to the GPSA's effort to implement its theory of change in terms of outreach and collaboration. The three primary indicators are as follows:

- Number of Global Partners funding the GPSA.
- Number/Percentage of grantees, Advisors, TTLs, CMUs, who report collaboration with Global Partners.
- Number/Percentage of grantees who report that collaboration with the Global Partners led to changes (e.g. reflection and/ or action) to improve their GPSA project.

Through grantee reporting, surveys, and other GPSA records, GPSA plans to assess how the Global Partners engage with other stakeholders during GPSA-sponsored activities, how the Global Partners who acquire information about priority issues/relationships that are useful for their work through GPSA- sponsored activities, and how Global Partners disseminate GPSA activities or products through non-GPSA sponsored mechanisms (blogs, meetings, letters, twitter, Facebook, mailing lists).

Contextual factors

Outcomes result from a combination of the GPSA's outputs – which are directly produced by the GPSA and thus directly under their control – and a range of contextual factors, which are beyond the control of the GPSA.

This section discusses a number of contextual factors that have been identified by key stakeholders as factors that are likely to influence the GPSA's opportunities and constrain their ability and their partners' abilities to affect the two main outcomes of the GPSA's theory of change.

Again, indicators for contextual factors should be distinguished clearly from indicators for the outcomes and outputs identified by the GPSA's theory of change. Outputs are directly produced by the GPSA and completely under their control. Thus, the GPSA will be evaluated on their production of these outputs. By producing these outputs, the GPSA seeks to affect the outcomes

in their theory of change. Their outputs should have a direct effect on these outcomes. Thus, the GPSA will also be evaluated on whether their outputs have a causal impact on these outcomes.

Outcomes, however, are not purely a function of the GPSA's activities. The perfect social accountability initiative and problem-driven political economy approach may still fail to result in constructive engagement between civil society actors and executive decision makers due to, for example, changes in the political, economic, or social context – a military coup, an election, etc.

Outcomes are thus distinguished from outputs in that they are not completely under the control of the GPSA, due to *contextual factors*. It is some of these contextual factors that we discuss below.

Space for civil society to operate. This category encompasses the existing characteristics of the political, institutional, and social environment in which civil society organizations operate.[50] Most importantly, these characteristics include the existence – and enforcement – of the constitutional rights that directly relate to the functioning of civil society such as civil liberties, information rights, and freedom of the press.[51]

Level of government openness. The pre-existing level of government openness is likely to influence the impact of any social accountability intervention on the behavior of state actors. Important aspects of government openness include minimal levels of fiscal transparency, access to information, and legal requirements for disclosures of income and assets for elected and senior public officials.[52]

State capacity, or quality of public sector management. In order for any intervention to improve

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[50] To assess this set of factors, the Open Government Partnership uses the Economist Intelligence Unit Democracy Index's Civil Liberties sub-indicator, which covers 167 countries. See Economist Intelligence Unit, "Democracy Index 2012: Democracy is at a Standstill," accessed 4 March 2014, https://www.eiu.com/public/topical_report.aspx?campaignid=DemocracyIndex12. The environmental dimension of the Civicus Index incorporates many of these characteristics in the measurement of the dimension, although the Civicus Index itself is not available for many of the GPSA's member countries. See Volkhart Finn Heinrich, "Assessing and Strengthening Civil Society Worldwide: A Project Description of the CIVICUS Civil Society Index: A Participatory Needs Assessment and Action-Planning Tool for Civil Society," CIVICUS Civil Society Index Paper Series 2:1 (Johannesburg: CIVICUS): 19-20.

[51] The International Center for Nonprofit Law publishes reports on the legal framework for civil society in many countries and indicators for some countries, but many of the GPSA countries are not covered by their work.

[52] These criteria overlap with the minimum eligibility criteria required by the Open Government Partnership for governments interested in participating. See "Eligibility Criteria," Open Government Partnership, last modified 2013, http://www.opengovpartnership.org/how-it-works/how-join/eligibility-criteria. The OGP uses the following indicators to assess these criteria: Fiscal transparency is assessed in terms of publication of the Executive's Budget Proposal and Audit Reports, based on a subset of indicators from the Open Budget Index, constructed by the International Budget Partnership, which covers 100 countries. See International Budget Partnership, "Open Budget Survey," accessed 4 March 2014, http://internationalbudget.org/what-we-do/open-budget-survey/. Legal guarantees of access to Information is assessed using information from Right2Info.org, a collaboration of the Open Society Institute Justice Initiative and Access Info Europe that covers 197 countries. See "Access to Information Laws: Overview and Statutory Goals," Right 2 Info, last modified Jan 20, 2012, http://right2info.org/access-to-information-laws. Disclosure requirements for public officials are measured using the following World Bank sources: Simeon Djankov, Rafael La Porta, Florencio Lopez-de-Silanes & Andrei Shleifer, "Disclosure by Politicians" (DC: The World Bank, 2009); Richard Messick, "Income and Asset Disclosure in World bank Client Countries" (DC: The World Bank, 2009); OECD, "Government at a Glance," OECD Multilingual Summaries (Paris: OECD, 2009).

service delivery and government performance, the state has to have some capacity for delivering services and for implementing reforms. This category includes the quality of public sector management, or the management of resources by various arms of the public administration. It also includes aspects of organizational capacity – the amount of resources available to agents with responsibilities for improving service delivery and government performance as well as the quality of those resources (such as the qualifications of staff).[53]

Level of political accountability. The pre-existing level of political accountability will also affect the potential for government responsiveness to social accountability initiatives and proposals for cooperation and collaboration. Political accountability can be evaluated in terms of the formal institutions that exist to create incentives or imperatives for political leaders and public bodies to wield their authority in ways that are in compliance with the country's laws and reflect the interest of the citizenry, such as the electoral system, the degree of electoral competition, and the institutionalization of a multi-party system.[54]

Institutionalization of checks and balances, and horizontal state accountability institutions. The pre-existing institutionalization of state accountability institutions such as legislative oversight mechanisms, judicial review, and independent oversight institutions also influence the probability that the GPSA will be able to foster collaboration and constructive engagement between civil society initiatives and these institutions.[55]

Engagement of Private Sector.
The private sector is an important stakeholder with the potential of further supporting developing the social accountability agenda in a country. Often overlooked, the private sector can play a pivotal role in social accountability to engage constructively with actors in the government executive and legislative bodies. Moreover, the private sector has the right incentives to engage on social accountability activities, as more transparency improves the business environment, ensures better competition and improves the functioning of institutions.

Assumptions

The theory of change outlined in this Results Framework has three main categories of assumptions: (1) assumptions about contextual factors in country contexts; (2) assumptions about the capacity and operations of the grantee civil society organizations; and (3) assumptions about the resources and operations of the GPSA and the Bank.

Assumptions about country contextual factors. The GPSA is only likely to have an impact on the

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[53] See, for example, "Actionable Governance Indicators on Public Sector Management," World Bank, accessed 4 March, 2014, http://go.worldbank.org/BN5GB74IV0.

[54] See, for example, Anti-Corruption Research Network, "Actionable Governance Indicators on Political Accountability," accessed 4 March, 2014, http://corruptionresearchnetwork.org/marketplace/datasets/actionable-governance-indicators-agi-data-portal

[55] See, for example, Anti-Corruption Research Network, "Actionable Governance Indicators on Checks and Balances," accessed 4 March 2014, http://corruptionresearchnetwork.org/marketplace/datasets/actionable-governance-indicators-agi-data-portal

main outcomes in its theory of change – constructive engagement between civil society organizations and actors in the government executive, and collaboration between grantee's social accountability initiatives and state accountability institutions – in country contexts that have at least minimal levels of the contextual factors discussed in the previous section.

Without constitutional and legal guarantees that are actually enforced, for example, civil society organizations are unlikely to take actions that could result in negative consequences from opponents within government, even when those actions are aimed at building constructive engagement and collaboration with government actors. Political conflict within the government, between groups or individuals with different interests, mean that without protected space for civil society to operate, civil society organizations may be unlikely to be able to implement meaningful social accountability initiatives.

The GPSA's problem-driven political economy approach to social accountability also assumes minimal levels of government openness and political accountability. Without some government openness and political accountability, civil society organizations are unlikely to be able to obtain the information about government performance that they need in order to monitor government and implement social accountability initiatives. Moreover, they are unlikely to be able to find the partners and allies within government that they need in order to influence decision-making processes, or even to obtain basic information about policy cycles, entry points, and the political incentives and constraints facing key actors.

Facilitating collaboration between with horizontal state institutions and the grantee's social accountability initiatives also requires the existence of horizontal state accountability institutions that are functioning and have some technical and operational capacity.

Finally, civil society organizations are unlikely to have an impact, or even be willing to take action or initiate cooperation in the first place, unless they believe that the state has some capacity to implement reforms and improve service delivery. In country contexts, where civil society organizations do not believe the state has the ability to improve service delivery and performance, it may not be rational for them to take any action to advocate for better public sector performance. In these contexts, citizens and civil society organizations often opt for self-provision, or to substitute for state functions and service delivery provision themselves.

Overall, the GPSA assumes that its initiatives will produce better results in countries where the government is willing to listen to citizens. While bad governance can sometimes energize civic movements, willing and engaged government partners are a key characteristic of the enabling environment in which GPSA projects will operate. To be successful, the GPSA will need to build a plausible theory and evidence base for the incentives and factors that induce state actors to be more willing to listen to and partner with citizens.

Assumptions about CSO grantee capacity. The GPSA's theory of change also assumes that CSO grantees have sufficient knowledge, experience, and capacity for social accountability initiatives, building multi-stakeholder coalitions, and developing collaborative relationships with state

actors. Prior knowledge, experience, and organizational capacity are particularly important for the GPSA's problem-driven political economy and strategic social accountability approach, as this approach requires grantees to step back and assess the power dynamics and political context in which they work, and to strategize about where they are most likely to be able to influence decision making processes. This approach requires grantees to have a degree of political sophistication, analytical ability, and capacity for reflection that not all civil society organizations may have. The GPSA evaluates these assumptions to the best of their ability during the selection process of grantees, but to some extent, they remain assumptions.

Assumptions about GPSA and Bank processes. First, the GPSA assumes increased operational capacity and administrative resources over the next two years as it moves to a full slate of grantees on three-to-five year timelines. This assumption is a critical one, given the small size of the GPSA as a unit.

Specifically, the GPSA's theory of change assumes that the GPSA will have sufficient capacity and resources to assist grantees, their TTLs and Advisors in carrying out a problem-driven political economy analysis of the context for the intervention and to provide guidance and knowledge about customizing social accountability initiatives to particular contexts. This approach assumes that the GPSA and its Advisors will have the personnel and expertise to help and/or train grantees and TTLs to analyze the power dynamics of their contexts and how to identify political opportunities for successful action.[56]

Note that this approach assumes that the GPSA will have sufficient time and resources to devote to understanding in some detail about the political contexts facing grantees, particularly in the first six months of the grant as the grantees, TTLs and Advisors are conducting their own political economy analyses in preparation for identifying potential government partners and allies, formulating strategies for constructive engagement and collaboration that TTLs and CMUs can help facilitate, and developing proposals to state actors for ways of moving forward that are actionable and feasible from the point of view of state actors.

In sum, the GPSA's approach to social accountability is one that requires significant levels of political sophistication, analysis, and strategizing as well as familiarity with specific country contexts and policy cycles. The degree of knowledge and analysis required assumes that the GPSA has sufficient capacity and manpower to provide this knowledge and analysis and/or to provide training and support to build capacity for this knowledge and analysis among grantees.

Second, the GPSA's theory of change assumes a high level of cooperation and communication between the GPSA and the Advisors and the TTLs for grantees. Because of the GPSA's political economy approach and its reliance on TTLs to link grantees with key state actors and potential government partners, it is critical that communication loops between the GPSA, Advisors, TTLs and grantees will be closed through informal and, ideally, formal cooperation. Cooperation and

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[56] The Global Partnership Facility's experience provides some grounds to believe the plausibility of this assumption. Its forthcoming evaluation should provide further insights as to what conditions need to exist / risk management measures may need to be put in place to increase the likelihood that this assumption holds.

communication between the GPSA, its Advisors, and TTLs are important throughout the period of a grant, but particularly so in the first 6-12 months when grantees are intensively engaged in developing and revising their strategic plans for design, implementation, and action. Given the current responsibilities of TTLs for trust fund projects and the limitations of the GPSA's personnel power, this assumption is also a critical one.

GPSA Monitoring and Evaluation System

Evaluations and reviews of global partnership programs have identified the lack of a monitoring and evaluation system as a recurrent problem.[57] Without such a system, neither learning nor accountability can take place adequately, thus jeopardizing the quality and value of the program.

The GPSA's monitoring and evaluation system builds on this Results Framework. Monitoring and evaluation of the GPSA will include selective impact evaluations, systematic reviews or meta-studies, as well as real-time monitoring and evaluation through the collection of feedback from governments and grantees to facilitate learning and adaptation.[58]

Grant component monitoring and reporting.   Monitoring and reporting at the grant level will take place through the following mechanisms.

First, grantees will provide bi-annual financial and substantive activity progress reports (Technical Reports) to the TTL, GPSA Advisor, and to the GPSA Secretariat. The substantive section of the Technical Reports will include evidence and stories of success and failure, indicating the way in which learning is taking place, and how government responds to the interventions. The information at this micro-level can be used to track goals, highlighting achievements and problems, operating as a real-time monitoring and self-evaluation system, using a participatory process to collect feedback from government and grantees, and generating information which can be used to allow for timely corrective actions. Information from the Technical Reports will enable the Bank to assess whether milestones required for annual disbursements are met by the

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[57]Independent Evaluation Group. Knowledge Based Country Programs: An Evaluation of The World Bank's Experience Report (IEG, 2013). Independent Evaluation Group. The World Bank Involvement in Global and Regional Partnerships: An Independent Assessment Report (The Independent Evaluation Group 2011).

[58] Additional resources for monitoring and evaluations the GPSA's proposed outcomes of constructive engagement with the executive and collaboration with horizontal state accountability institutions include the following:
WBI, Designing a Multi-Stakeholder Results Framework, November 2013
http://wbi.worldbank.org/wbi/Data/wbi/wbicms/files/drupal-acquia/wbi/ResultsFramework.pdf
WBI Summary Note: Improved Consensus and Teamwork, Strengthened Coalitions and Enhanced Networks. Attributes and Indicators Relational Intermediate Capacity Outcomes, January 2013
http://wbi.worldbank.org/wbi/document/summary-note-relational-intermediate-capacity-outcomes
WBI, Operational Note on Relational Intermediate Capacity Outcomes, May 2013
http://wbi.worldbank.org/wbi/document/operational-note-relational-intermediate-capacity-outcomes
WBI,Guide to Evaluating Capacity Development Results. A collection of Guidance Notes to development practitioners and evaluators, December 2012
http://wbi.worldbank.org/wbi/Data/wbi/wbicms/files/drupal-acquia/wbi/Guide%20to%20Evaluating%20Capacity%20Development%20Results_0.pdf

grantees.

Second, grantees will send fully updated versions of their own Results Frameworks once a year in advance of the Bank's disbursements against the project outputs and milestones required of the grantee.

Third, TTLs will meet in person with grantees in advance of the TTL's annual report on the grant and the use of the Bank's Implementation Status and Results Reporting Mechanism (ISR). This annual report and documentation from the mission such as reports, notes, etc. that is attached to the ISR will also be used to assess progress on the grant and whether mid-course corrections are needed. TTLs may also conduct additional field visits to monitor grants' implementation and provide technical assistance to grantees.

Knowledge and learning component monitoring. As established in the TF Handbook, for Bank-Executed Knowledge activities, reporting will be carried out through the implementation Status and Results (ISR) module, which includes progress and completion reports. In addition, Bank-Executed Knowledge products will be disseminated through the GPSA's Knowledge Platform.

Program level monitoring and reporting. Information from the substantive activity section of the bi-annual Technical Reports will also be used for the monitoring and evaluation of the GPSA's overall program. The data from the bi-annual Technical Reports will be assessed, coded, and recorded by the GPSA. The Technical Reports are prepared and submitted electronically, and contain standardized information across all grants, in order to facilitate the collection of data and indicators that will be used for analysis and for evaluation of both grant projects and of the GPSA program. The Technical Reports will thus include information required by the grant's own Results Framework and M&E plans as well as by the GPSA's overall Results Framework. Standardization of sections of the Technical Reports will enable aggregation of data from individual grantee reports by the GPSA, which can be used by the GPSA to generate knowledge and learning outputs for grantees and for feeding back into the design of the GPSA's components.

Similarly, the annual updated versions sent by grantees of their own Results Frameworks in advance of the Bank's disbursements against the project outputs and milestones will also provide data for monitoring of the GPSA's overall program. Data on a few of the indicators provided by grantees in their own Results Frameworks will also be aligned with the GPSA program's Results Frameworks so that these data can be assessed, coded, and recorded by the GPSA for monitoring and evaluation of the overall program.

Annual reports from TTLs and their use of the Implementation Status and Results (ISR) template will also contribute data on indicators for the GPSA's overall program. In addition to qualitative assessment and/or quantitative coding of the TTL reports, questions will also be added to the ISR template to collect information on specific indicators for monitoring of the GPSA's overall program. TTLs may also conduct additional field visits to utilize rapid appraisal methods (such as direct observation and key informant interviews) to collect data relevant for measuring the GPSA's indicators for GPSA program outputs and outcomes.

Finally, the GPSA Secretariat will submit Annual Progress Reports to the Steering Committee that may be used for monitoring and reporting of the overall GPSA program.

Program level evaluation. Independent, external evaluation is a governance responsibility. As recommended by IEG's assessment of global partnership programs, it is important that the GPSA's governing body (Steering Committee) takes ownership of the independent evaluation. The first independent external evaluation will be carried out at the end of the Program's second year of implementation, with periodic follow-ups. Questions to be addressed for the external evaluation are: (1) ideas for improving the links and accountability relations of the GPSA and the Task Team Leaders; (2) strengthening the assumptions about GPSA and Bank communication and coordination processes laid out in the Assumptions sections; 3) improving analysis produced by the GPSA's Knowledge Component and the feedback from the Knowledge Component into improvements in the design of the GPSA program itself.

Table 1: Indicators Table for GPSA Results Framework

	Indicators	Suggested measurement strategies	Suggested data source(s)	Responsibility for data collection
Outcomes				
Outcome 1: *Constructive engagement with executive decision-makers*	Indicator 1: Constructive engagement between grantee (lead implementing CSO) and relevant government counterparts	Survey and interview questions for grantees such as the following: - Have you been able to formalize the terms of collaboration with the government counterparts that you need to engage for the project to start or make progress during implementation? - Have you been able to meet with the government counterparts to agree on the specific details for the project to make progress during implementation? - Have you been able to obtain the information that you need for the project's operational plan to make progress? - Has there been collaboration from specific government officials with whom you need to coordinate the project's activities? - Has any public sector institution engaged in the project responded to the project's feedback?	Survey of grantees or representative sample of grantees Qualitative assessment of relevant sections in biannual reports (technical reports) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the ISRs filed regularly by the TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews) Memo(s) or other communication from participants or other stakeholders stating that the discussion was initiated/resumed/activated; that consensus was reached on the formulation of a strategy	GPSA responsible for collating the documentation and collecting data from grantees, Advisors' Back-to-Office Reports Grantees Task Team Leaders GPSA Advisors

| | | - Overall, how would you rate your satisfaction with the level of collaboration exhibited by the government counterparts? (scale) | Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews

Memo(s) or other communication from participants or other stakeholders describing how collaboration has increased or improved

Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration

Back-to-Office Reports completed by GPSA Advisors | |
|---|---|---|---|---|
| | Indicator 2:

Constructive engagement among grantee's CSO partners and relevant government counterparts | Survey and interview questions for grantees such as the following:

- Have you been able to formalize the terms of collaboration with the government counterparts that you need to engage for the project to start or make progress during implementation?

- Have you been able to meet with the government counterparts to agree on the specific details for the project to make progress during implementation?

- Have you been able to obtain the | Survey of grantees or representative sample of grantees

Qualitative assessment of relevant sections in biannual reports (technical reports) from grantee and/or coding of assessment into quantitative measures.

Qualitative or quantitative data gathered through GPSA questions added to the ISRs filed regularly by the TTLs

Rapid appraisal methods (e.g., | GPSA responsible for collating the documentation and collecting data from grantees

Grantees

Task Team Leaders

GPSA Advisors |

| | | information that you need for the project's operational plan to make progress?

- Has there been collaboration from specific government officials with whom you need to coordinate the project's activities?

- Has any public sector institution engaged in the project responded to the project's feedback?

- Overall, how would you rate your satisfaction with the level of collaboration exhibited by the government counterparts? (scale) | direct observation and key informant interviews)

Memo(s) or other communication from participants or other stakeholders stating that the discussion was initiated/resumed/activated; that consensus was reached on the formulation of a strategy

Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews

Memo(s) or other communication from participants or other stakeholders describing how collaboration has increased or improved

Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration

Back-to-Office Reports completed by GPSA Advisors | |
| *Outcome 2: Collaboration between CSOs and* | Indicator 1:

Collaboration between | Survey and interview questions for grantees such as the following: | Survey of grantees or representative sample of grantees | GPSA responsible for collating the |

| Social Accountability Institutions | social accountability initiatives of grantee (lead implementing CSO) and state accountability institutions | - Have you been able to obtain information with any of the horizontal accountability agencies/institutions that the project had planned to target?

- Have you been able to engage in dialogue or collaboration with any of the horizontal accountability agencies/institutions that the project had planned to target? | Qualitative assessment of relevant sections in biannual reports (technical reports) from grantee and/or coding of assessment into quantitative measures.

Qualitative or quantitative data gathered through GPSA questions added to the ISRs filed regularly by the TTLs

Rapid appraisal methods (e.g., direct observation and key informant interviews)

Memo(s) or other communication from participants or other stakeholders stating that the discussion was initiated/resumed/activated; that consensus was reached on the formulation of a strategy

Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews

Memo(s) or other communication from participants or other stakeholders describing how collaboration has increased or improved | documentation and collecting data from grantees

Grantees

Task Team Leaders

GPSA Advisors |

			Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration Back-to-Office Reports completed by GPSA Advisors	
	Indicator 2: Collaboration between grantee's CSO partners and state accountability institutions	Survey and interview questions for grantees such as the following: - Have you been able to obtain information with any of the horizontal accountability agencies/institutions that the project had planned to target? - Have you been able to engage in dialogue or collaboration with any of the horizontal accountability agencies/institutions that the project had planned to target?	Survey of grantees or representative sample of grantees Survey of grantee partners or representative sample of grantee partners Qualitative assessment of relevant sections in biannual reports (technical reports) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the ISRs filed regularly by the TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews) Memo(s) or other communication from participants or other stakeholders stating that the discussion was initiated/resumed/activated; that	GPSA responsible for collating the documentation and collecting data from grantees Grantees Task Team Leaders GPSA Advisors

			consensus was reached on the formulation of a strategy	
			Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews	
			Memo(s) or other communication from participants or other stakeholders describing how collaboration has increased or improved	
			Survey or interview questions asking participants or other stakeholders about increase or improvement in collaboration	
			Back-to-Office Reports completed by GPSA Advisors	

Outputs

| Output 1: Integration of political economy analyses into GPSA grantee strategies | Indicator 1: Grantee explains in their initial grant application and subsequent biannual reports (Technical Reports) why they expect their asks for | Qualitative assessment of relevant sections in grant applications and biannual reports (Technical Reports) from grantee and/or coding of assessment into quantitative measures. Qualitative or quantitative data gathered through GPSA questions added to the ISRs filed regularly by the TTLs. | Grant application (Question 2.1 in Round 1 application section on Proposal Objectives) Relevant sections in biannual reports (Technical Reports) from grantee on justification of asks and mid-course corrections | Grantees Task Team Leaders Advisors |

	the government to be feasible and actionable *from the government's point of view*.		GPSA questions added to the ISRs filed by TTLs	
	Indicator 2: Grantee provides an assessment of the political (not just technical) feasibility and actionability of its choice of social accountability tools and strategies for pushing its shared objectives with government actors forward	Qualitative assessment and/or coding into quantitative measures of Questions 3.2.2, 3.2.3, 3.3, and 3.4.3 in Round 1 application Qualitative assessment and/or coding into quantitative measures of relevant sections in biannual reports (Technical Reports) on three key operational strategies: (1) strategy for building multi-stakeholder support; (2) strategy for constructive engagement; (3) choice of SA tools. Qualitative or quantitative data gathered through GPSA questions added to the ISRs filed regularly by the TTLs.	Relevant sections in grant applications and biannual reports (technical reports) from grantee and/or coding of assessment into quantitative measures. GPSA questions added to the ISRs filed regularly by the TTLs.	Grantees Task Team Leaders Advisors
Output 2: Application of strategic political economy approach by Task Team Leaders and Country Management Units	Indicator 1: TTLs, CMUs and Advisors help to identify key government actors and allies with influence over the identified problem(s) and facilitate relationships between grantees and these key government actors	Qualitative or quantitative measures of questions from the grantees such as the following: - Have you received help or guidance from any WB staff in the process of engaging with public sector institutions? - If needed, has the WB staff helped you to access information and people in the public sector that you need to engage for the project?	Section added to biannual reports (technical reports) from grantees Survey of grantees or representative sample of grantees Rapid appraisal methods (e.g., direct observation and key informant interviews)	GPSA responsible for collecting data from grantees on a regular basis

		NB. Higher, constant numbers are not necessarily better. An independent evaluator should make contextual assessment of the trajectory of CSO-government relationships and the relevance/need of WB action.		
	Indicator 2: Customization of global knowledge to country context to inform grantee strategies and actions	Qualitative assessment and/or coding into quantitative measures of Call for Proposals (CFPs) and orientation session materials to assess customization to each country context, and/or coding of assessment into quantitative measures Qualitative assessment and/or coding into quantitative measures of regular reports and ISRs by TTLs to determine whether Advisors, TTLs and CMUs cite global knowledge and adaptation of this global knowledge in their justification of why they signed off on mid-course corrections by CSOs. (For example, TTLs note that we know that elections can affect political appointees within the executive so this mid-course correction by the grantee responds to the expected effects of elections in this country context.)	CFPs, orientation session materials, TTL ISRs	GPSA responsible for collating the documentation
Output 3: Knowledge and learning from analysis of GPSA's approach to Social Accountability	Indicator 1: Number of publications capturing lessons - quality of analysis -- structured, matched, justified in terms of scope conditions, etc. -- about the implementation of the GPSA model of Social Accountability	Qualitative assessment and/or coding of assessment into quantitative measures of the Terms of Reference agreements (TORs) for GPSA knowledge products (e.g. dissemination notes, minutes from virtual and F2F forums, BBLs, workshops and convenings, summaries of exchanges in the portal, working papers) in terms of the following:	GPSA records and documentation	GPSA Secretariat is responsible for collecting data on a regular basis

	through constructive multi-stakeholder engagement and collaboration with state institutions	- Do the products focus on issues associated with political economy analysis (incentives, actors, formal and informal institutions, etc.)? - Do the products convey knowledge and relevant examples from different regions/sectors? - Do the products discuss the applicability of insights to other places and identify concrete contextual factors that bound the applicability of insights? - Do the products discuss issues related to capacity and feasibility (opportunities, constraints, costs and risks) of implementing lessons learned? - Are the issues covered in the knowledge and learning products integrated with the grant-making component and GPSA's expected outcomes or are they independent of grantee operational strategies and experiences? - Do the products focus on big-picture/cross-sectoral issues important for the grants (which is where the Bank has a comparative advantage), vs. specific solutions to narrow problems? - Are the products focused on how-to questions such as those relevant for output 2 indicator 1 rather than purely technical questions (such as the best design for a		

		report card)? For example, does the product examine how grantees get from receiving the GPSA funds to the outcome? What is their strategic plan of action? Under what conditions, for example, is lobbying a better strategy than training community leaders? Do the products use systematic analyses such as (1) comparing the experiences and outcomes of grantees operating in similar country or sectoral contexts with similar political, institutional, economic, and social background conditions to identify why grantees operating in similar contexts may have different experiences; or (2) comparing grantees that have had similar experiences and outcomes but in very different country or sectoral contexts in order to identify the factors leading to the similar outcomes?		
	Indicator 2: Perceptions of grantees, TTLs, CMUs (in countries where the GPSA operates), and Advisors of the usefulness of GPSA knowledge products/activities for their analysis, decision making	Coding of survey and interview data into quantitative measures Qualitative assessment of relevant sections in biannual reports (Technical Reports) from grantee and/or coding of assessment into quantitative measures. - Have you used or contributed to any GPSA knowledge product or participated in knowledge activities? - Have you been able to apply or use any of the knowledge obtained to your project operations and analytical work?	Survey and interviews of grantees, Advisors, TTLs, and CMUs Relevant sections in biannual reports (Technical Reports) from grantee on justification of asks and mid-course corrections GPSA questions added to the ISRs filed by TTLs Rapid appraisal methods (e.g., direct observation and key informant interviews)	GPSA responsible for collecting data from grantees on a regular basis

		- Have you been able to learn from experiences of CSOs working in contexts that are similar to yours? Qualitative or quantitative data gathered through GPSA questions added to the ISRs filed regularly by the TTLs		
Output 4: Outreach and collaboration with GPSA Global Partners	Indicator 1: Number of collaborative efforts of GPSA Global Partners with GPSA Grantees	Quantitative assessment of GPSA Global Partners with breakdowns by country, region, type of organization, and number of GPs funding the GPSA Qualitative or quantitative measures of questions such as the following: - How the Global Partners share knowledge about priority issues with other stakeholders during a GPSA-sponsored activity. - How Global Partners acquire information about priority issues/relationships that are useful for their work through GPSA- sponsored activities. - How have Global Partners who report disseminated GPSA activities or products through non-GPSA sponsored mechanisms (blogs, meetings, letters, twitter, Facebook, mailing lists).	GPSA records Survey and interviews of Global Partners or representative sample	GPSA Secretariat
	Indicator 2: Number/Percentage of grantees, Advisors, TTLs, CMUs, who	Qualitative assessment of relevant sections in biannual reports (Technical Reports) from grantee and/or coding of assessment into quantitative measures.	Qualitative assessment of relevant sections in biannual reports (technical reports) from grantee	GPSA Secretariat

	report collaboration with Global Partners.	- Number/Percentage of grantees, Advisors, TTLs, CMUs, who report collaboration with Global Partners.	Survey and interviews of grantees, Advisors, and TTLs or representative sample Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews Rapid appraisal methods (e.g., direct observation and key informant interviews)	
	Indicator 3: Number/Percentage of grantees who report that collaboration with the Global Partners led to changes (e.g. reflection and/ or action) to improve their GPSA project	Qualitative assessment of relevant sections in biannual reports (Technical Reports) from grantee and/or coding of assessment into quantitative measures. - Has any collaboration with a GPSA Global Partner helped your project?	Survey and interviews of grantees, Advisors, and TTLs or representative sample Qualitative assessment of relevant sections in biannual reports (technical reports) from grantee Qualitative or quantitative data gathered through GPSA questions added to the ISRs filed regularly by the TTLs Rapid appraisal methods that ask about increase or improvement in collaboration, e.g., mini-surveys, key informant interviews, and focus group interviews Rapid appraisal methods (e.g., direct observation and key informant interviews)	GPSA Secretariat

Contextual Factors				
Contextual Factor 1: Existing Space for Civil Society to Operate	Indicator 1: *De jure* and *de facto* protections for civil liberties, information rights, and freedom of the press	CSO Sustainability Index Economist Intelligence Unit Democracy Index's Civil Liberties sub-indicator (used by the Open Government Partnership for minimum eligibility criteria) Freedom House Accountability and Public Voice Index Freedom House Civil Liberties Index (NB: The environmental dimension of the Civicus Index incorporates many of these characteristics in the measurement of the dimension, although the Civicus Index itself is not available for many of the GPSA's member countries.)	http://www.interaction.org/civil-society-organization-sustainability-index https://www.eiu.com/public/topical_report.aspx?campaignid=DemocracyIndex12 http://www.freedomhouse.org/report/countries-crossroads-2010/survey-methodology?page=140&edition=9&ccrpage=45#.Uw5EvvZkKJM	
Contextual Factor 2: Pre-existing Level of Government Openness	Indicator 1: Pre-existing level of fiscal transparency	Whether or not the Executive's Budget Proposal and Audit Reports are published, based on subset of indicators from the Open Budget Index, constructed by the International Budget Partnership (used by the Open Government Partnership for minimum eligibility criteria)	http://internationalbudget.org/what-we-do/open-budget-survey/	
	Indicator 2: Pre-existing access to information	Data from Right2Info.org, a collaboration of the Open Society Institute Justice Initiative and Access Info Europe World Bank Public Accountability Mechanisms Initiative (PAM): Freedom of	http://right2info.org/access-to-information-laws http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPUBLICSECTORANDGOVERNANCE/0,,contentM	

		Information	DK:23352107~pagePK:148956~piPK:216618~theSitePK:286305,00.html	
	Indicator 3: Existing legal requirements for disclosures of income and assets for elected and senior public officials	World Bank Public Accountability Mechanisms Initiative (PAM): Financial Disclosure Survey data from 2009 World Bank-commissioned survey on disclosure entitled "Disclosure by Politicians;" 2009 World Bank study titled, "Income and asset disclosure in World Bank client countries," by Richard Messick, and OECS Governance at a Glance 2009	http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPUBLICSECTORANDGOVERNANCE/0,,contentMDK:23352107~pagePK:148956~piPK:216618~theSitePK:286305,00.html	
Contextual Factor 3: Pre-existing State Capacity / Quality of Public Sector Management	Indicator 1: Pre-existing quality of public financial management	Public Expenditure and Financial Accountability Program (PEFA) Assessments Subset of public sector management indicators from IDA Resource Allocation Index Freedom House Accountability and Public Voice Index	https://www.pefa.org/en/dashboard http://www.worldbank.org/ida/IRAI-2011.html	
Contextual Factor 4: Pre-existing Level of Political Accountability	Indicator 1: Level of electoral quality	Polity IV Index	http://www.systemicpeace.org/polity/polity4.htm	
	Indicator 2: Quality of rule of law	World Justice Project Rule of Law Index	https://www.agidata.org/Site/Sources.aspx	
Contextual Factor 5:	Indicator 1:	Subset of indicators from Freedom House Anticorruption and Transparency Index	http://www.freedomhouse.org/report/countries-crossroads-	

Institutionalization of Horizontal State Accountability Institutions	Institutionalization of state accountability institutions such as legislative oversight mechanisms, judicial review, and independent oversight institutions		2010/survey-methodology?page=140&edition=9&ccrpage=45#.Uw5EvvZkKJM	
	Indicator 2: Is the national ombudsman effective? In law, is there a national ombudsman, public protector or equivalent agency (or collection of agencies) covering the entire public sector? Can citizens access the reports of the ombudsman?	Global Integrity Reports, Government Oversight and Controls, National Ombudsman (V-1)	https://www.globalintegrity.org/global_year/2011/	
	Indicator 3: In law, is there a national supreme audit institution, auditor general or equivalent agency covering the entire public sector? Is the supreme audit institution effective? Can citizens access reports of the supreme	Global Integrity Reports, Government Oversight and Controls, Supreme Audit Institution (V-2)	https://www.globalintegrity.org/global_year/2011/	

	audit institution?			